



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5  
Supp 405  
10 29 02  
ASL

Applicants: Vlad J. Novotny and Yee-Chung Fu  
Assignee: Active Optical Networks, Inc.  
Title: "MULTI-AXIS MICRO-ELECTRO-MECHANICAL ACTUATOR"  
Serial No.: 10/032,198 Filed: December 20, 2001  
Examiner: Tel:  
Docket No.: AO-001 Art Unit: 2874

Box DD  
Commissioner For Patents  
Washington, D.C. 20231

October 17, 2002

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 3 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box DD, Commissioner for Patents, Washington, D.C. 20231, on October 17, 2002.

10.17.02  
Date

Laurie Moreno

Respectfully submitted,

Arthur J. Behiel  
Attorney for Applicants  
Reg. No. 39,603

RECEIVED  
OCT 23 2002  
TECHNOLOGY CENTER 2800



2874

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/032,198	
	Filing Date	December 20, 2001	
	First Named Inventor	Vlad J. Novotny	
	Group Art Unit	2874	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	3 plus	Attorney Docket Number	A0-001

Copies of each cited document ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): • 1 page PTO-1449 Citing 3 documents and a copy of each cited document Return receipt postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Arthur J. Behmel, Patent Attorney
Signature	
Date	October 17, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231 on this date: 10.17.02			
Typed or printed name	Laurie Morend	Date	October 17, 2002
Signature			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

\* Box DD